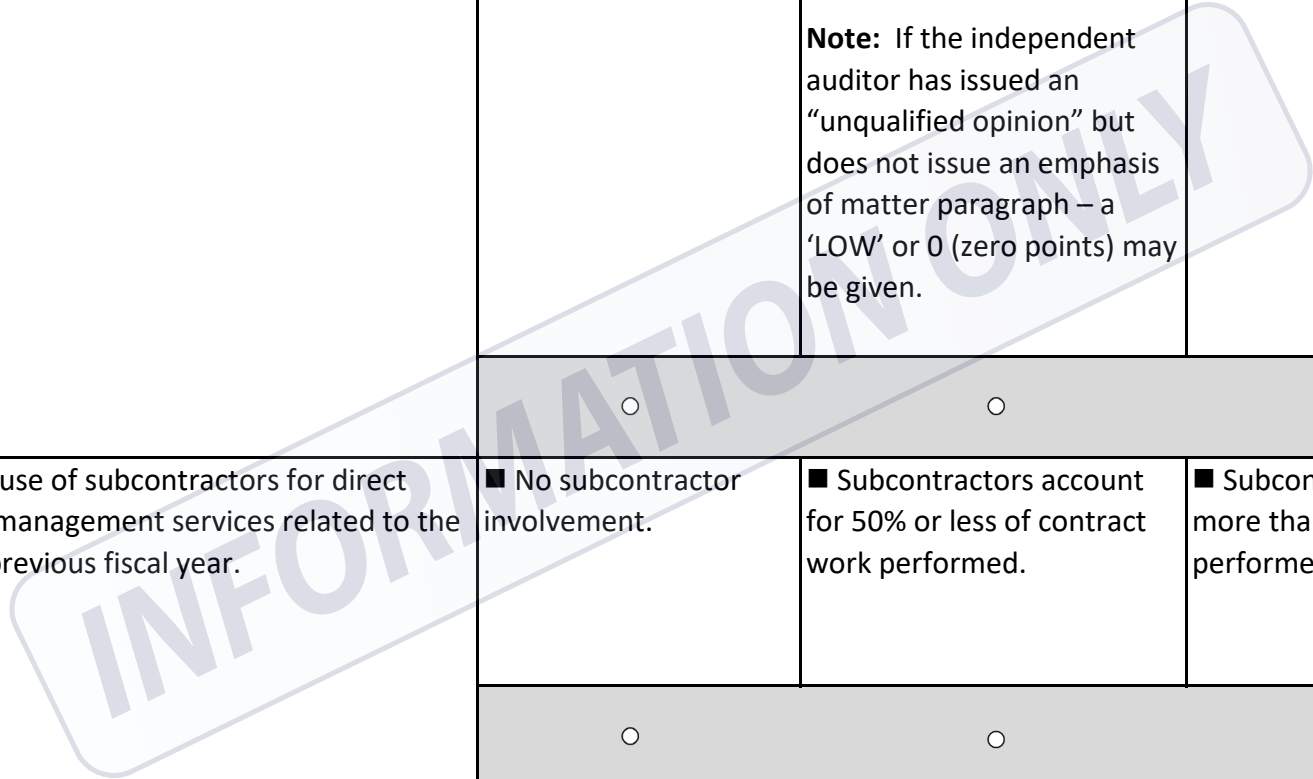


## FY25 Risk Assessment Instrument (RAI) for Client Services Contracts Adult Protective Services (APS) and State Office (SO) Children Without Placement (CWOP)

#	RISK FACTOR	DESCRIPTION	RISK LEVEL Bulleted Items = "Or"			POTENTIAL SOURCES
1	Length of time since last DFPS contract monitoring (Administrative)	Identify the length of time since DFPS last conducted monitoring of the contract.  <b>Note:</b> See the instructions for consideration of a contractor's monitoring history.	<ul style="list-style-type: none"> <li>■ Monitored within the past 12 months.</li> <li>■ Never monitored and contractor has contracted for this service for less than 12 months.</li> <li>■ Contractor has been paid for less than 3 months of service.</li> </ul>	<ul style="list-style-type: none"> <li>■ Monitored within the past 13-24 months.</li> <li>■ Never monitored and contractor has contracted for this service for more than 12 but less than 24 months.</li> </ul>	<ul style="list-style-type: none"> <li>■ Monitored more than 24 months ago.</li> <li>■ Never monitored and contractor has contracted for this service for 24 months or more.</li> </ul>	<ul style="list-style-type: none"> <li>■ Monitoring History Report</li> <li>■ SCOR</li> <li>■ Annual Statewide Monitoring Plan</li> </ul>
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2	Internal Controls (Financial)	Identify contractor's operational control weaknesses.	<ul style="list-style-type: none"> <li>■ No outstanding remedies, damages, or pending litigations.</li> <li>■ No issues with invoicing.</li> </ul>	<ul style="list-style-type: none"> <li>■ Untimely or inaccurate invoicing such as not staying within authorized units.</li> <li>■ Failure to maintain separation of duties.</li> </ul>	<ul style="list-style-type: none"> <li>■ Outstanding remedies, damages, or pending litigations.</li> <li>■ Not meeting payroll or tax obligations.</li> <li>■ Repetitive untimely or inaccurate invoicing to include billing the wrong rate.</li> </ul>	<ul style="list-style-type: none"> <li>■ ICSQ</li> <li>■ Monitoring Reports</li> <li>■ Audit(s) results</li> <li>■ Billing Documentation</li> </ul>
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3	Related Party Transactions (Financial)	Identify existence of any less than arms-length transactions between the contractor and a related party during the previous fiscal year.	<ul style="list-style-type: none"> <li>■ No related party transactions.</li> <li>■ Fee for Service contract.</li> </ul>	<ul style="list-style-type: none"> <li>■ Related party transactions (<b>non-recurring or non-compensated</b>).</li> </ul>	<ul style="list-style-type: none"> <li>■ Related party transactions (<b>recurring or compensated</b>).</li> </ul>	<ul style="list-style-type: none"> <li>■ RAQ</li> <li>■ ICSQ</li> <li>■ Audits</li> </ul>
			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

4	<b>Audit Results (Financial)</b>	Identify the results of the most recent audit completed (e.g. Independent Audit, Single Audit).	<ul style="list-style-type: none"> <li>■ No audit required by contract or by statute.</li> <li>■ Audit performed and resulted in an "unmodified opinion".</li> </ul>	<ul style="list-style-type: none"> <li>■ Audit resulted in a "unqualified opinion" with an "Emphasis-of-Matter" paragraph added by the auditor.</li> </ul> <p><b>Note:</b> If the independent auditor has issued an "unqualified opinion" but does not issue an emphasis of matter paragraph – a 'LOW' or 0 (zero points) may be given.</p>	<ul style="list-style-type: none"> <li>■ Audit resulted in a "qualified", "adverse" or "disclaimer of opinion".</li> </ul>	<ul style="list-style-type: none"> <li>■ Audit(s) Reports</li> <li>■ RAQ</li> <li>■ ICSQ</li> </ul>
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5	<b>Subcontracting (Administrative)</b>	Identify contractor's use of subcontractors for direct service delivery and management services related to the contract during the previous fiscal year.	<ul style="list-style-type: none"> <li>■ No subcontractor involvement.</li> </ul>	<ul style="list-style-type: none"> <li>■ Subcontractors account for 50% or less of contract work performed.</li> </ul>	<ul style="list-style-type: none"> <li>■ Subcontractors account for more than 50% of contract work performed.</li> </ul>	<ul style="list-style-type: none"> <li>■ Billing Documentation</li> <li>■ ICSQ</li> <li>■ Contract Files</li> <li>■ Budgets</li> <li>■ RAQ</li> <li>■ Subcontractor List</li> </ul>
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6	<b>Administrative and Financial Compliance (Administrative)</b>	Identify instances of administrative and financial non-compliance by the contractor within the prior fiscal year. Performance issues include: <ul style="list-style-type: none"> <li>■ Fiscal risk</li> <li>■ Validated complaints</li> <li>■ Background checks</li> <li>■ Monitoring findings</li> <li>■ Corrective actions</li> <li>■ Security breach</li> <li>■ Failure to follow internal processes</li> <li>■ Contract remedies, sanctions, or liquidated damages</li> <li>■ Contract breach</li> </ul>	<ul style="list-style-type: none"> <li>■ No issues of non-compliance.</li> <li>■ Minimal, isolated, and non-significant monitoring findings with no other performance issues.</li> </ul>	<ul style="list-style-type: none"> <li>■ Performance issues that were minor in nature and have been successfully resolved.</li> <li>■ 2+ <u>non-significant</u> monitoring findings or instances of non-compliance that were successfully resolved or that have a low # of exceptions within each finding.</li> <li>■ 1 <u>significant</u> monitoring finding.</li> </ul>	<ul style="list-style-type: none"> <li>■ Unresolved financial risk, validated complaints, background check issues, corrective actions, or contract breach.</li> <li>■ 2+ <u>non-significant</u> monitoring findings or instances of non-compliance that have either <u>not been resolved</u> or that have a high # of exceptions within each finding.</li> <li>■ 2+ <u>significant</u> monitoring Findings.</li> </ul>	<ul style="list-style-type: none"> <li>■ Contract Files (e.g., Cost Report, Vendor or Service Hold)</li> <li>■ ICSQ</li> <li>■ Monitoring Reports/Tools</li> <li>■ Fiscal Assessment Tools</li> <li>■ SCOR</li> <li>■ Client Eligibility</li> <li>■ Background Checks</li> </ul>
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7	<b>Experience of Key Management Staff (Administrative)</b>	Identify the experience of key management staff with fiscal or programmatic components of the contracted service.	<ul style="list-style-type: none"> <li>■ At least 24 months experience with fiscal <b>and</b> programmatic components of federal and/or state contracted programs.</li> </ul>	<ul style="list-style-type: none"> <li>■ At least 24 months experience with fiscal <b>or</b> programmatic components of federal and/or state contracted programs.</li> </ul>	<ul style="list-style-type: none"> <li>■ Less than 24 months experience with fiscal or programmatic components of federal and/or state contracted programs</li> </ul>	<ul style="list-style-type: none"> <li>■ Procurement Documents</li> <li>■ Contract Files</li> <li>■ RAQ</li> </ul>
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8	<b>Experience of Direct Delivery Staff (Programmatic)</b>	Identify the average experience that direct delivery staff have in providing the contracted service.	<ul style="list-style-type: none"> <li>■ More than 24 months experience providing the contracted service.</li> <li>■ No direct client services are provided</li> </ul>	<i>Intentionally left blank</i>	<ul style="list-style-type: none"> <li>■ Less than 24 months experience providing the contracted service.</li> </ul>	<ul style="list-style-type: none"> <li>■ Procurement Documents</li> <li>■ Contract Files</li> <li>■ RAQ</li> </ul>
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